



GUIDANCE DOCUMENT FOR REPORT OF THEFT, LOSS, OR RELEASE OF SELECT AGENTS AND TOXINS (APHIS/CDC FORM 3)

FORM APPROVED
OMB NO. 0579-0213
OMB NO. 0920-0576
EXP DATE 12/31/2008

INTRODUCTION

The U.S. Departments of Health and Human Services (HHS) and Agriculture (USDA) published final rules (7 CFR 331, 9 CFR 121, and 42 CFR 73), which implement the provisions of the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (Public Law 107-188) setting forth the requirements for possession, use, and transfer of select agents and toxins. The select agents and toxins identified in the final rules have the potential to pose a severe threat to public health and safety, to animal and plant health, or to animal and plant products. Responsibility for providing guidance on this form was designated to the Centers for Disease Control and Prevention (CDC) by the HHS Secretary and to the Animal and Plant Health Inspection Service (APHIS) by the USDA Secretary. In order to minimize the reporting burden to the public, APHIS and CDC have developed a common reporting form for this data collection.

An entity is required by regulation (7 CFR 331.19, 9 CFR 121.19, and 42 CFR 73.19) to notify APHIS (telephone: 301-734-5960, facsimile: 301-734-3652, e-mail: Agricultural.Select.Agent.Program@aphis.usda.gov) or CDC (telephone: 404-718-2000, facsimile: 404-718-2096, or e-mail: lrsat@cdc.gov) immediately upon discovery of a theft (unauthorized removal of select agent or toxin), loss (failure to account for select agent or toxin), or release (occupational exposure or release of an agent or toxin outside of the primary barriers of the biocontainment area) of a select agent and toxin. In addition, clinical or diagnostic laboratories and other entities that possess, use or transfer a select agent or toxin contained in a specimen presented for diagnosis, verification, or proficiency testing must immediately report upon discovery of a theft, loss, or release of select agent or toxin. After the initial reporting, this form (APHIS/CDC Form 3) must be sent to APHIS or CDC within 7 calendar days after the discovery of theft, loss, or release of select agents or toxins.

For theft or loss of select agents or toxins, the entity must notify the appropriate local, state, or federal law enforcement agencies. For release of select agents or toxins, the entity should notify the appropriate local, state, and federal health agencies.

PURPOSE

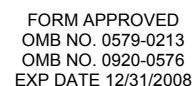
This form is to be used by the RO or facility director to report the theft, loss, or release of select agents or toxins. A copy of the completed form and attachments must be maintained by the entity for three years.

INSTRUCTIONS

1. Immediately notify APHIS or CDC via telephone, fax, or e-mail and appropriate local, state, or federal law enforcement agencies (theft or loss) or appropriate local, state, and federal health agencies (release).
2. The RO or facility director must complete, sign and date this form. For registered entities, the information provided for this form should match the information submitted for the entity's certificate of registration.
 - A. For reporting of a theft or loss, complete sections 1 and 2. Thefts or losses must be reported even if the select agent or toxin is subsequently recovered or the responsible parties are identified. For reporting a theft or loss that occurred during transfer, complete sections 1, 2, and 3 and include a copy of the approved APHIS/CDC Form 2, "Request to Transfer Select Agents and Toxins."
 - B. For reporting a release, complete sections 1, 2, and 4. For reporting a release that occurred during transfer, complete all sections and include a copy of the approved APHIS/CDC Form 2, "Request to Transfer Select Agents and Toxins."
3. The RO or facility director faxes or mails the form to APHIS or CDC **within 7 calendar days** of the theft, loss, or release.

OBTAINING EXTRA COPIES OF THIS FORM

Additional copies of this form are available on APHIS website (http://www.aphis.usda.gov/programs/ag_selectagent/index.html) or CDC website (<http://www.cdc.gov/od/sap>) or by contacting APHIS at (301) 734-5960 or CDC at (404) 718-2000.



Centers for Disease Control and Prevention
Division of Select Agents and Toxins
1600 Clifton Road NE, Mailstop A-46
Atlanta, GA 30333
FAX: 404-718-2096

APHIS/CDC FORM 3 (12/31/2008)
(CDC Adobe Acrobat 5.0 Electronic Version, 1/2006)

SECTION 3 – IF THE INCIDENT OCCURRED DURING TRANSFER PROVIDE THE FOLLOWING INFORMATION

38. APHIS authorization number from transfer form:		39. CDC authorization number from transfer form:	
40. Name of carrier:		41. Airway bill number/bill of lading number/tracking number:	
42. Package description (size, shape, description of packaging including number and type of inner packages; attach additional sheets if necessary):			
	SENDER INFORMATION		RECIPIENT INFORMATION
43. Name of person:	a. First: MI: Last:		b. First: MI: Last:
44. Name of entity:	a.		b.
45. APHIS/CDC registration number:	a. APHIS:	b. CDC:	c. APHIS: d. CDC:
46. PHS/USDA import permit number:	a. PHS:	b. USDA:	c. PHS: d. USDA:
47. Date shipped:	a.		b.
48. Telephone:	a.		b.
49. FAX:	a.		b.
50. Package with select agents and toxins received by requestor: No Yes		51. Package with select agents and toxins appears to have been opened: No Yes (If Yes, explain)	
52. Sender was contacted regarding incident: No Yes		53. Carrier/courier was contacted regarding incident: No Yes	

SECTION 4 – TO BE COMPLETED ONLY FOR RELEASE OF SELECT AGENTS AND TOXINS

54. Hazards posed by release: No Yes (If Yes, explain. Use an attachment if necessary.)
55. Exposures: No Yes (If Yes, provide number of persons, animals, and plants exposed. Attach additional sheets if necessary.)
56. Area was decontaminated: No Yes (If Yes, explain. Use an attachment if necessary.)
57. Medical treatment was provided: No Yes (If Yes, explain. Use an attachment if necessary.)

SECTION 2 – TO BE COMPLETED BY ALL ENTITIES							
LIST OF SELECT AGENTS AND TOXINS LOST, STOLEN OR RELEASED							
	20. Select Agents and Toxins	21. Characterization of Agent	22. Number of Vials	23. Form (powder/liquid/slant)	24. Vol or Wt per Vial (e.g., ml, mg, ng)	25. Total Quantity	26. Concentration/Vial (e.g., 10 ⁸ pfu/ml)
1							
2							
3							
4							
5							
6							
7							
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9							
10							
11							
12							

I hereby certify that the information contained on this form is true and correct to the best of my knowledge. I understand that if I knowingly provide a false statement on any part of this form, or its attachments, I may be subject to criminal fines and/or imprisonment. I further understand that violations of 42 CFR 73, 9 CFR 121, or 7 CFR 331 may result in civil or criminal penalties, including imprisonment.

Signature of Respondent: _____ Typed or printed name of Respondent: _____

Title: _____ Date: _____

Public reporting burden: Public reporting burden of providing this information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1600 Clifton Road NE, MS D-74, Atlanta, Georgia 30333; ATTN: PRA (0920-0576).